

5 FAM 1000 INFORMATION TECHNOLOGY (IT) PLANNING

5 FAM 1010 INFORMATION TECHNOLOGY (IT) PLANNING

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(Updated only to revise Office of Origin and some formatting)

5 FAM 1011 PURPOSE

(TL:IM-30; 01-23-2001)

The purpose of this chapter is to implement, in the Department of State, information technology (IT) planning policies and procedures.

5 FAM 1012 SCOPE

(TL:IM-30; 01-23-2001)

This chapter provides policy and procedural guidance for the Department's information technology (IT) strategic, tactical, and capital investment planning processes, which support the foreign policy goals in the U.S. Department of State Strategic Plan.

5 FAM 1013 DEFINITIONS

(TL:IM-30; 01-23-2001)

Bureau Performance Plan (BPP)—Internal planning documents prepared by the Department's regional, functional, and management bureaus, which set out long-term goals and short-term objectives in their areas of responsibility for achieving the overall strategic goals. As part of the Department's Performance Planning process, the BPP provides a principle vehicle for revising goals and evaluating performance.

Capital Asset—Land, structures, equipment, and intellectual property (including

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software) that are used by the Federal Government and have an estimated useful life of two years or more. Capital assets exclude items acquired for resale in the ordinary course of operations or held for the purpose of physical consumption such as operating materials and supplies. The cost of a capital asset includes its purchase price and all other life cycle costs incurred to bring it to a form and location suitable for its intended use through asset disposal. (Capital Programming Guide, Supplement to OMB Circular A-11, Part 3: Planning, Budgeting, and Acquisition of Capital Assets).

Information Technology Architecture (ITA)—An integrated framework for evolving or maintaining existing information technology and for guiding the acquisition of new information technology in accordance with the agency's strategic goals and information technology strategic goals (Clinger-Cohen Act 1996 - SEC. 5125 (d)).

A complete ITA is the documentation of the relationships between the business and management processes and the supporting information technology that ensures:

- (1) Alignment of the requirements for information systems (as defined in OMB Circular A-130 Section 6(n): a discrete set of information resources organized for the collection, processing, maintenance, transmission, and dissemination of information, in accordance with defined procedures, whether automated or manual) with the processes that support the agency's missions;
- (2) Adequate interoperability, system redundancy, and information systems security; and
- (3) The application and maintenance of technical, security and business standards by which the agency evaluates and acquires new systems. (OMB Memorandum M-97-16, Information Technology Architectures).

Information Technology Capital Investment Fund (CIF)—A State Department fund appropriated by Congress, allotted exclusively for IT capital development projects. It is a part of the Department's IT Central Fund.

Information Technology Central Fund (CF)—A State Department fund that is comprised of the IT Capital Investment Fund (CIF) and Expedited Passport Fee (EPF) collections.

Information technology capital planning—A systematic approach to managing the risks and returns of IT investments. It is an integrated management process which provides for the continuous selection, control, life-cycle management, and evaluation of IT investments and is focused on achieving a desired business outcome.

Information technology strategic plan—A long-term, high-level plan that defines a systematic way an agency will use information technology to effectively accomplish the agency's missions, goals, and objectives.

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Information technology tactical plan—The document, which describe the major IRM initiatives and IT projects over a three year period. The document tracks the means by which the Department of State achieves its long term goals and objectives, as outlined in the Department of State Strategic Plan and as further defined in the IT Strategic Plan.

Mission Program Plan (MPP)—Internal planning documents, which describes how a U.S. diplomatic mission's strategies, goals, objectives, programs, and operational resources will support strategic goals defined in the U.S. Strategic Plan for International Affairs.

Performance goal—A target level of performance expressed as a tangible, measurable objective, against which actual achievement shall be compared, including a goal expressed as a quantitative standard, value or rate.

Performance measurement—A means of evaluating efficiency, effectiveness, and results. A performance measurement should include program accomplishments in terms of outputs (quantity of products or services provided) and outcomes (results of providing outputs in terms of effectively meeting intended agency mission objectives). (Capital Programming Guide, Supplement to OMB Circular A-11, Part 3: Planning, Budgeting, and Acquisition of Capital Assets)

Standards—A set of detailed technical guidelines used as a means of establishing uniformity in an area of hardware or software development.

5 FAM 1014 AUTHORITIES

(TL:IM-30; 01-23-2001)

The authorities for these information technology-planning policies are found in the following public laws and oversight agency guidelines.

- (1) Public Law 103-62; Government Performance and Results Act of 1993;
- (2) Public Law 104-13; Paperwork Reduction Act of 1995;
- (3) Public Law 104-106; Clinger-Cohen Act of 1996;
- (4) Executive Order 13011, Federal Information Technology, 7/17/96;
- (5) Office of Management and Budget Circular A-130;
- (6) Office of Management and Budget Capital Programming Guide;
- (7) OMB Memorandum M-97-16, Information Technology Architectures; and
- (8) OMB Memorandum M-97-02, Funding Information Systems Investments.

5 FAM 1015 THE DEPARTMENT'S STRATEGIC AND PERFORMANCE PLANNING PROCESS

(TL:IM-30; 01-23-2001)

Strategic planning for international affairs matches policy to resources, improves coordination among U.S. agencies, and demonstrates the value of U.S. Government activities and programs abroad. The International Affairs Strategic Plan (IASP) articulates an overarching framework for the nation's international interests and strategic goals. Each of the foreign affairs agencies completes an agency-specific strategic plan that defines its roles and mission in achieving the goals of the international affairs strategic plan. Input for these plans is provided from posts abroad and domestic offices in the form of mission performance plans (MPP) and bureau performance Plans (BPP). The Department uses the MPP and BPP submissions to prepare the annual Department of State performance plan, which is submitted to the Congress along with the Congressional Budget Request. The Department's Performance Plan is organized according to the strategic goals identified in the Department's Strategic Plan. In addition, by March 31 of each year, the Department prepares a Program Performance Report describing how well it met its performance goals for the fiscal year which ended six months earlier.

5 FAM 1015.1 Mission Performance Plans (MPPs) and Bureau Performance Plans (BPPs)

(TL:IM-30; 01-23-2001)

- a. The Department's Strategic and Performance Planning process includes internal planning documents such as the annual mission performance plans and the bureau performance plans. MPPs, using the strategic goals in the IASP as their framework, are comprehensive and authoritative U.S. Government strategy documents prepared by the country teams representing all U.S. Government agencies and approved by chiefs of missions at embassies and missions around the world. The MPP sets priorities, requests resources, and ensures consistency among agencies in-country and with Washington headquarters.
- b. Bureaus in the Department use the MPP to formulate bureau performance plans, which in turn are used to produce the Department's annual performance plan, which is submitted to the Congress along with the annual budget request. Department managers, with IT responsibility, use the IT section of the MPP to prioritize funding requests for mission IT projects. The chief of mission should use the MPP to provide guidance and advice to all agencies in the mission regarding program and operational resources required to achieve the strategic objectives at the post. Information from multiple MPPs is consolidated into a bureau performance plan. The information is also used in the preparation of the Department's IT Tactical Plan. The Department's Strategic Planning Management Group (M/P, S/RPP, and FMP) is responsible for providing guidance on the preparation of the Department's strategic planning documents, including the annual performance plan, program performance report, MPPs and BPPs.

5 FAM 1016 INFORMATION TECHNOLOGY (IT) PLANNING RESPONSIBILITIES

5 FAM 1016.1 Under Secretary for Management

(TL:IM-30; 01-23-2001)

The Under Secretary for Management decides the ultimate distribution of the Department's IT Central Fund. The Under Secretary for Management chairs the Information Technology Program Board (ITPB). The Under Secretary for Management is also the senior accountable official responsible for implementing the Department's IT Strategic Plan.

5 FAM 1016.2 Chief Information Officer (CIO)

(TL:IM-30; 01-23-2001)

- a. The CIO is responsible for IT planning activities, including the development and maintenance of architectures, capital planning, strategic planning, and investment performance evaluations.
- b. The CIO is responsible for producing IT planning documents, including the strategic plan, tactical plan, and IRM Bureau Program Plan. The CIO has responsibility for reviewing and updating these plans.
- c. When the Under Secretary for Management is absent, the CIO chairs the IT Program Board (ITPB) meetings.
- d. The CIO provides guidance to the bureaus on the preparation of IT planning documentation required in support of funding requests presented before the Information Technology Program Board and the Technical Review Advisory Group (TRAG).
- e. The CIO and the Deputy CIO for Architecture, Planning, and Regulations (IRM/APR) are responsible for the development of the IT Tactical Plan.
- f. The CIO generally advises the Under Secretary for Management on IT investments. See 1 FAM 270 for additional CIO responsibilities.

5 FAM 1016.3 Deputy Chief Information Officer for Architecture, Planning and Regulations (IRM/APR)

(TL:IM-30; 01-23-2001)

- a. The Deputy CIO (DCIO) for Architecture, Planning and Regulations manages Department-wide IT planning programs, including the preparation of the IT Strategic Plan, the IT Tactical Plan, and the development, maintenance, and promulgation of all IT architectures.

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- b. The DCIO for APR coordinates the data collection efforts for the IT planning, ensuring standardized plan formats and contents, and that projects in the plans conform to architectural standards.
- c. The DCIO for APR will serve as chair of the Technical Review Advisory Group (TRAG).

5 FAM 1016.4 Chief Financial Officer (CFO)

(TL:IM-30; 01-23-2001)

- a. Within the context of information technology planning, the CFO is responsible for reporting Department expenditures for IT capital assets to the Office of Management and Budget. The CFO is the accountable officer for the Department's OMB Circular A-11 submissions, which report on Department IT capital and non-capital expenditures from all sources.
- b. The CFO is the accountable officer for allocation of the IT Central Fund.
- c. The CFO serves as a member of the ITPB and provides budgetary guidance on IT project proposals. The CFO is responsible for ensuring that the Department's IT budget is properly requested, justified, and monitored.

5 FAM 1016.5 Program Managers

(TL:IM-30; 01-23-2001)

- a. As part of the Department's planning process, program managers, both within the IRM bureau and in other bureaus, initiate project plans and provide subsequent project information, as requested. The project information includes the following: resources required for projects, implementation schedules and/or work breakdown structures, milestones and/or control gates, objectives and/or task lists, performance measures, key personnel, risks, and constraints. See 5 FAM 600 for guidance on managing IT programs and projects.
- b. Program managers must also report to the CIO on whether projects are on schedule and within budget.

5 FAM 1016.6 Bureau Executive Directors

(TL:IM-30; 01-23-2001)

- a. Bureau executive directors approve IT proposals and funding requests received from bureau offices and posts abroad. They ensure that IT proposals or requests, which seek funds from the IT Central Fund, have been properly documented and presented to the ITPB. They also ensure that IT investments from both the IT Central Fund and bureau funds are in support of the Department's IT Strategic Plan.
- b. Executive directors may be asked to participate in the ITPB, TRAG or the

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Management Review Advisory Group (MRAG), as required, according to the membership rules of each board.

5 FAM 1016.7 Acquisition Personnel

(TL:IM-30; 01-23-2001)

Acquisition personnel in the Bureau of Administration, Logistics Management (A/LM) actively participate in the Department's information technology planning process. A/LM managers will be represented on the MRAG. The Assistant Secretary for Administration will name the candidate who will serve in this position.

5 FAM 1016.8 Information Management Officer (IMO)

(TL:IM-30; 01-23-2001)

The Information Management Officer at post is responsible for post-level implementation of the IT strategic plan goals by forecasting future IT requirements for the mission and submitting those requirements in the mission performance plan and bureau budget calls.

5 FAM 1016.9 Domestic Systems Managers

(TL:IM-30; 01-23-2001)

The domestic system managers at State implement systems in accordance with the IT strategic plan, define and implement solutions to their bureaus' unique IT requirements, incorporate those requirements into the bureaus' bureau performance plans and budget calls and present proposals to the ITPB through their senior management.

5 FAM 1017 THROUGH 1019 UNASSIGNED

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